

Applicant or Patentee: Holton E. Harris Attorney's Docket No. 10546-13
Serial or Patent No.: Filed concurrently Filed or Issued: Filed concurrently
For: "Alternate Polymer Extrusion System and Method with Reduced Drool".

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled "Alternate Polymer Extrusion System and Method with Reduced Drool" described in

- (X) the specification filed herewith
() Application Serial No. _____, filed _____
() Patent No. _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below.

- () no such person, concern, or organization
(X) persons, concerns or organizations listed below*

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

NAME Harrel, Incorporated

ADDRESS 16 Fitch St., East Norwalk, CT 06855
() INDIVIDUAL (X) SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Holton E. Harris

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

Signature of Inventor

Signature of Inventor

Signature of Inventor

Date

Date

Date

1/30/2001

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Applicant or Patentee: Holton E. Harris Attorney's Docket No. 10546-13
Serial or Patent No.: Filed concurrently Filed or Issued: Filed concurrently
For: "Alternate Polymer Extrusion System and Method with Reduced Drool".

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to
act on behalf of the concern identified below:

NAME OF CONCERN Harrel, Incorporated

ADDRESS OF CONCERN 16 Fitch St., East Norwalk, CT 06855

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled "Alternate Polymer Extrusion System and Method with Reduced Drool"
by inventor(s) Holton E. Harris
described in

- ☒ the specification filed herewith
☐ Application Serial No. _____, filed _____.
☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

**COMBINED DECLARATION
AND POWER OF ATTORNEY**

(Original, Design, National Stage of PCT or CIP Application)

As a below named inventor, I hereby declare that:
My residence, post office address and citizenship is as stated
below next to my name; I believe I am the original, first and sole
inventor (if only one name is listed below) or an original, first
and joint inventor (if plural names are listed below) of the
subject matter which is claimed and for which a patent is sought
on the invention entitled:

"Alternate Polymer Extrusion System and
Method with Reduced Drool"

the specification of which: *(complete (a), (b) or (c) for type of
application)*

Regular or Design Application

- (a) ☒ is attached hereto.
(b) ☐ was filed on _____ as Application Serial No. _____
_____ and as amended on _____ *(if
applicable)*.

PCT Filed Application Entering National Stage

- (c) ☐ was described and claimed in International Application
No. _____ filed on _____ and as
amended on _____ *(if applicable)*.

Acknowledgment of Review of Papers and Duty of Candor

I hereby state that I have reviewed and understand the
contents of the above-identified specification, including the
claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is
material to the patentability of the subject matter claimed in
this application in accordance with Title 37, Code of Federal
Regulations § 1.56.

☐ In compliance with this duty there is attached an
information disclosure statement. 37 CFR 1.97.

097538-020104

Priority Claim

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed

(complete (d) or (e))

(d) ☒ no such applications have been filed.

(e) ☐ such applications have been filed as follows:

PRIOR FOREIGN/PCT APPLICATION(S) FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION				
COUNTRY	APPLICATION NO.	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)	PRIORITY CLAIMED UNDER 37 USC 119
				<input type="checkbox"/> YES NO <input type="checkbox"/>
				<input type="checkbox"/> YES NO <input type="checkbox"/>
				<input type="checkbox"/> YES NO <input type="checkbox"/>
ALL FOREIGN APPLICATION(S), IF ANY, FILED MORE THAN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO SAID APPLICATION				
				<input type="checkbox"/> YES NO <input type="checkbox"/>

Claim for Benefit of Prior U.S. Provisional Application(s)

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
60 / 180,580	February 4, 2000
/	
/	

Continuation-In-Part

(complete this part only if this is a continuation-in-part application)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information as defined in Title 37, Code of Federal Regulations, § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing Date)	(Status)	(patented, pending, abandoned)
(Application Serial No.)	(Filing Date)	(Status)	(patented, pending, abandoned)

Power of Attorney

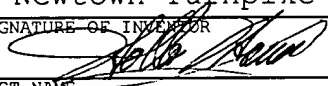
As named inventor, I hereby appoint Thomas D. MacBlain, Reg. No. 24,583, Kittie Murray, Reg. No. 30,346, John Titus, Reg. No. 39,047, Paul Burns, Reg. No. P47,463, Cindy Huang, Reg. No. P47,667, and Rennie Dover, Reg. No. 36,503, of the firm of GALLAGHER & KENNEDY, with offices at 2575 East Camelback Road, Phoenix, Arizona 85016 as attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

SEND CORRESPONDENCE TO:
Thomas D. MacBlain
GALLAGHER & KENNEDY
2575 East Camelback Road
Phoenix, AZ 85016

DIRECT TELEPHONE CALLS TO:

GALLAGHER & KENNEDY
(602) 530-8088

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF SOLE OR FIRST INVENTOR	LAST NAME Harris	FIRST NAME Holton	MIDDLE NAME E.	
RESIDENCE & CITIZENSHIP	CITY Westport	STATE or FOREIGN COUNTRY CT	COUNTRY OF CITIZENSHIP U.S.A.	
POST OFFICE ADDRESS	POST OFFICE ADDRESS 5 Newtown Turnpike	CITY Westport	STATE or COUNTRY CT	ZIP CODE 06880
DATE 1/30/2001	SIGNATURE OF INVENTOR 			
FULL NAME OF SECOND JOINT INVENTOR, IF ANY	LAST NAME	FIRST NAME	MIDDLE NAME	
RESIDENCE & CITIZENSHIP	CITY	STATE or FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE or COUNTRY	ZIP CODE
DATE	SIGNATURE OF INVENTOR			
FULL NAME OF THIRD JOINT INVENTOR, IF ANY	LAST NAME	FIRST NAME	MIDDLE NAME	
RESIDENCE & CITIZENSHIP	CITY	STATE or FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE or COUNTRY	ZIP CODE
DATE	SIGNATURE OF INVENTOR			

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